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<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>		ATTORNEY'S DOCKET NUMBER 514572001200
INTERNATIONAL APPLICATION NO. PCT/CN2003/000580		U.S. APPLICATION NO. (if known, see 37 CFR 1.5) 10/562,803
INTERNATIONAL FILING DATE 18 July 2003		PRIORITY DATE CLAIMED 30 June 2003
TITLE OF INVENTION DNA CHIP BASED GENETIC TYPING		
APPLICANT(S) FOR DO/EO/US Huafang GAO et al.		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
1. <input type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371. 2. <input checked="" type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371. 3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input type="checkbox"/> The US has been elected (Article 31). 5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c)(2)) a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). a. <input type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). <b>Items 11 to 20 below concern document(s) or information included:</b> 11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. (3 pages) 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input type="checkbox"/> A preliminary amendment. 14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76. 15. <input type="checkbox"/> A substitute specification. 16. <input type="checkbox"/> A power of attorney and/or change of address letter. 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 – 1.825. 18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).		

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U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <b>10/562,803</b>	INTERNATIONAL APPLICATION NO. <b>PCT/CN2003/000580</b>	ATTORNEY'S DOCKET NUMBER <b>514572001200</b>	
20. <input checked="" type="checkbox"/> Other items or information: PTO/SB/08a/b Form (3 pages plus duplicate) References (35) Return Receipt Postcard			
The following fees have been submitted 21. <input type="checkbox"/> Basic national fee (37 CFR 1.492(a)) ..... \$300		<b>CALCULATIONS</b> \$	<b>PTO USE ONLY</b>
22. <input type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) ..... \$0 All other situations ..... \$200		\$	
23. <input type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) ..... \$0 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority ..... \$100 International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB ..... \$400 All other situations ..... \$500		\$	
<b>TOTAL OF 21, 22 and 23 =</b>		\$ 0.00	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.			
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE
- 100 =	/50 =		x \$250.00
			\$
Surcharge of \$130 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).		\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	- 20 =		x
Independent claims	- 3 =		x
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+
<b>TOTAL OF ABOVE CALCULATIONS =</b>		\$ 0.00	
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.		0.00	
<b>SUBTOTAL =</b>		\$ 0.00	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).		\$	
<b>TOTAL NATIONAL FEE =</b>		\$ 0.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property		\$	
<b>TOTAL FEES ENCLOSED =</b>		\$ 0.00	
		Amount to be refunded:	\$
		Amount to be charged	\$

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- a. ☐ A check in the amount of \$ \_\_\_\_\_ to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ 0.00 to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 03-1952. ~~A duplicate copy of this sheet is enclosed.~~
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038

**NOTE:** Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed an granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

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REGISTRATION NUMBER

CUSTOMER NUMBER: 25225

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)  
10/562,803

INTERNATIONAL APPLICATION NO.  
PCT/CN2003/000580

ATTORNEY'S DOCKET NUMBER  
514572001200

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, in an envelope addressed to: MS PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.

Dated: March 2, 2006Signature:  (Lenay Rogus)

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, in an envelope addressed to: MS PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.

Dated: March 2, 2006

Signature:

  
(Lenay Rogus)

Patent

Docket No. 514572001200

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:  
Huafang GAO et al.

Serial No.: 10/562,803

Filing Date (Int'l): July 18, 2003

For: DNA CHIP BASED GENETIC TYPING

Examiner: Not Yet Assigned

Group Art Unit: Not Yet Assigned

### INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97 & 1.98

MS PCT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Dear Sir:

Pursuant to 37 C.F.R. §1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO/SB/08a/b. Copies of foreign documents and non-patent literature are submitted herewith. The Examiner is requested to make these documents of record.

The document numbers 31, 43, 44, 46, 47, 48, and 73 listed on the attached Form PTO/SB/08a/b were cited in an International Search Report mailed on July 29, 2004, directed to a counterpart international or foreign application and have not been previously cited.

This Information Disclosure Statement is submitted:

- ☐ With the application; accordingly, no fee or separate requirements are required.
- ☐ Before the mailing of a first Office Action after the filing of a Request for Continued Examination under § 1.114. However, if applicable, a certification under 37 C.F.R. § 1.97 (e)(1) has been provided.
- ☒ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required. However, if applicable, a certification under 37 C.F.R. § 1.97 (e)(1) has been provided.
- ☐ After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
  - ☐ A fee is required. A check in the amount of \_\_\_ is enclosed.
  - ☐ A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided above; accordingly, no fee is believed to be due.
- ☐ After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided above and a check in the amount of \_\_\_ is enclosed.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided above and a Fee Transmittal form (PTO/SB/17 is attached to this submission in duplicate.)

Applicants would appreciate the Examiner initialing and returning the Form PTO/SB/08a/b, indicating that the information has been considered and made of record herein.

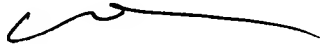
The information contained in this Information Disclosure Statement under 37 C.F.R. § 1.97 and § 1.98 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist;

(iii) the information, protocols, results and the like reported by third parties are accurate or enabling;  
or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal form is separated from this document and the Patent and Trademark Office determines that an extension and/or other relief (such as payment of a fee under 37 C.F.R. § 1.17 (p)) is required, Applicants petition for any required relief including extensions of time and authorize the Commissioner to charge the cost of such petition and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing 514572001200.

Dated: March   /  , 2006

Respectfully submitted,

By   
Peng Chen  
Registration No.: 43,543  
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(858) 720-5117

Substitute for form 1449/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/562,803
				Filing Date	(Int'l) July 18, 2003
				First Named Inventor	Huafang GAO
				Art Unit	Not Yet Assigned
				Examiner Name	Not Yet Assigned
Sheet	1	of	3	Attorney Docket Number	514572001200

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	1.	US-4,134,792	01-16-1979	Boguslaski et al.	
	2.	US-4,230,797	10-28-1980	Boguslaski et al.	
	3.	US-4,238,565	12-09-1980	Hornby et al.	
	4.	US-4,336,173	06-22-1982	Ugelstad et al.	
	5.	US-4,421,660	12-20-1983	Solc nee Hajna	
	6.	US-4,490,436	12-25-1984	Kawakami et al.	
	7.	US-4,554,088	11-19-1985	Whitehead et al.	
	8.	US-4,582,788	04-15-1986	Erich	
	9.	US-4,654,267	03-31-1987	Ugelstad et al.	
	10.	US-4,683,195	07-28-1987	Mullis et al.	
	11.	US-4,683,202	07-28-1987	Mullis	
	12.	US-4,774,265	09-27-1988	Ugelstad et al.	
	13.	US-4,800,159	01-24-1989	Mullis et al.	
	14.	US-4,965,007	10-23-1990	Yudelson	
	15.	US-4,965,188	10-23-1990	Mullis et al.	
	16.	US-5,091,206	02-25-1992	Wang et al.	
	17.	US-5,119,801	06-09-1992	Eizenhoefer et al.	
	18.	US-5,130,238	07-14-1992	Malek et al.	
	19.	US-5,143,854	09-01-1992	Pirrung et al.	
	20.	US-5,232,782	08-03-1993	Charmot	
	21.	US-5,270,184	12-14-1993	Walker et al.	
	22.	US-5,283,079	02-01-1994	Wang et al.	
	23.	US-5,288,514	02-22-1994	Ellman	
	24.	US-5,312,233	05-17-1994	Tanny et al.	
	25.	US-5,312,728	05-17-1994	Lizardi et al.	
	26.	US-5,318,797	06-07-1994	Matijevic et al.	
	27.	US-5,348,855	09-20-1994	Dattagupta et al.	
	28.	US-5,384,261	01-24-1995	Winkler et al.	
	29.	US-5,395,688	03-07-1995	Wang et al.	
	30.	US-5,541,061	07-30-1996	Fodor et al.	
	31.	US-5,545,531	08-13-1996	Rava et al.	
	32.	US-5,556,752	09-17-1996	Lockhart et al.	
	33.	US-5,561,071	10-01-1996	Hollenberg et al.	
	34.	US-5,648,211	07-15-1997	Fraiser et al.	
	35.	US-5,677,195	10-14-1997	Winkler et al.	
	36.	US-5,702,885	12-30-1997	Baxter-Lowe et al.	
	37.	US-5,834,121	11-10-1998	Sucholeiki et al.	
	38.	US-6,004,745	12-21-1999	Arnold, Jr. et al.	
	39.	US-6,024,138	02-15-2000	Fritz et al.	
	40.	US-6,150,097	11-21-2000	Tyagi et al.	
	41.	US-6,156,508	12-05-2000	Spears et al.	
	42.	US-6,300,076	10-09-2001	Koster	

Examiner Signature		Date Considered	
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Substitute for form 1449/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/562,803
				Filing Date	(Int'l) July 18, 2003
				First Named Inventor	Huafang GAO
				Art Unit	Not Yet Assigned
				Examiner Name	Not Yet Assigned
Sheet	2	of	3	Attorney Docket Number	514572001200

43.	US-6,465,183	09-26-2002	Wolber	
44.	US-2003/0119178-A1	06-26-2003	Sato et al.	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code <sup>3</sup>	Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)			
	45.	CN	1347958	05-08-2002	Guangshun Yi et al.	
	46.	CN	1392268	01-22-2003	Wei Zhao et al.	
	47.	CN	1400315	03-05-2003	Wang et al.	
	48.	CN	1405322	03-26-2003	Wu et al.	
	49.	EP	0 684 315	11-29-1995	Fraiser et al.	
	50.	GB	1,548,741	07-18-1979	Miles Laboratories	
	51.	WO	02/075309	09-26-2002	Aviva Biosciences	

\*EXAMINER: Initial if information considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.		
	52.	BLEANEY and BLEANEY, Chapter 6 in "Electricity and Magnetism" Oxford (1975) pages 169-174		
	53.	BLEANEY and BLEANEY, Chapter 16 in "Electricity and Magnetism" Oxford (1975) pages 519-524		
	54.	BROUDE et al., Nucleic Acids Res. (2001) 29(19):E92		
	55.	CAO et al., Rev. Immunogenet. (1999) 1:177-208		
	56.	DATTA GUPTA et al., Analytical Biochemistry (1989) 177:85-89		
	57.	FORSTER et al., Nucleic Acid Res. (1985) 13:745		
	58.	GORUS and SCHRAM, Clin. Chem. (1979) 25:512-519		
	59.	GRAVITT et al., J. Clin. Micro. (1998) 36:3020-3027		
	60.	GUO et al., Rev. Immunogenet. (1999) 1:220-230		
	61.	HERTZBERG et al., J. Amer. Chem. Soc. (1982) 104:313		
	62.	International Search Report for PCT/CN03/00580, mailed on July 29, 2004, 3 pages		
	63.	KAHIWASE, Rinsho Byori Suppl. (1999) 110:99-106		
	64.	KWOH et al., PNAS USA (1989) 86:1173-1177		
	65.	MATIJEVIC, Acc. Chem. Res. (1981) 14:22-29		
	66.	MATTEUCCI et al., J. Am. Chem. Soc. (1981) 3:3185-3191		
	67.	MILLIGAN et al., J. Med. Chem. (1993) 36:1923		
	68.	MITCHELL et al., J. Am. Chem. Soc. (1982) 104:4265		
	69.	MYTILINEOS et al., Hum. Immunol. (1998) 59:512-517		
	70.	SAIKI et al., PNAS USA (1989) 86:6230-6234		

Examiner Signature		Date Considered	
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sd-298460



Substitute for form 1449/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>				<b>Complete if Known</b>	
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				First Named Inventor	Huafang GAO
				Art Unit	Not Yet Assigned
				Examiner Name	Not Yet Assigned
Sheet	3	of	3	Attorney Docket Number	514572001200

71.	SHAW et al., Nucleic Acids Res. (1991) 19:747	
72.	SOINI and HEMMILA, Clin. Chem. (1979) 25:353-361	
73.	TIAN ZHENJUN et al., Chin. J. Sports Med. (2002) 21(2):	
74.	TYAGI et al., Nature Biotechnology (1996) 14:303-308	
75.	VANDENBERGHE et al., J. of Magnetism and Magnetic Materials (1980) 15-18:1117-1118	
76.	WHITE et al., Meth. Enzymol. (1977) 46:644	
77.	WHITEHEAD et al., Clin. Chem. (1979) 25:1531-1546	
78.	WISDOM, Clin. Chem. (1976) 22:1243	
79.	WOOD et al., PNAS USA (1985) 82:1585-1588	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

Examiner Signature		Date Considered	
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